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Attorney Docket P3330R1C1
PATENT

EL 895 375 498 US: Express Mail Number

December 19, 2001, Date of Deposit

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

BOX PATENT APPLICATION
Assistant Commissioner of Patents
Washington, D.C. 20231

NON-PROVISIONAL APPLICATION TRANSMITTAL UNDER 37 CFR 1.53(b)

Transmitted herewith for filing is a non-provisional patent application:

Inventor(s) (or Application "Identifier"):

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Zemin Zhang, Foster City, California

Title: SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

1. Type of Application

- ☐ This application is for an original, non-provisional application.
- ☐ This is a non-provisional application claiming priority to provisional application no. __, filed __, the entire disclosure of which is hereby incorporated by reference.
- ☒ This is a ☐ continuation-in-part ☒ continuation ☐ divisional application claiming priority to the following application Serial Numbers: 60/049911 Filed 6/18/97; 60/056974 Filed 8/26/97; 60/059113 Filed 9/17/97; 60/059115 Filed 9/17/97; 60/059117 Filed 9/17/97; 60/059122 Filed 9/17/97; 60/059184 Filed 9/17/97; 60/059263 Filed 9/18/97; 60/059352 Filed 9/19/97; 60/059588 Filed 9/19/97;

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60/113300 Filed 12/22/98; 60/113313 Filed 12/22/98; 60/113314 Filed 12/22/98;
60/113315 Filed 12/22/98; 60/113510 Filed 12/22/98; 60/113511 Filed 12/22/98;
60/113605 Filed 12/23/98; 60/113621 Filed 12/23/98; 60/115549 Filed 1/12/99;
60/115557 Filed 1/12/99; 60/115560 Filed 1/12/99; 60/115562 Filed 1/12/99;
60/115564 Filed 1/12/99; 60/115630 Filed 1/12/99; 60/115705 Filed 1/12/99;
60/115733 Filed 1/12/99; 60/116533 Filed 1/20/99; 60/118210 Filed 2/1/99;
60/118245 Filed 2/2/99; 60/118303 Filed 2/2/99; 60/119301 Filed 2/9/99; 60/119302
Filed 2/9/99; 60/119303 Filed 2/9/99; 60/119341 Filed 2/9/99; 60/119358 Filed
2/9/99; 60/119440 Filed 2/10/99; 60/119566 Filed 2/10/99; 60/123090 Filed 3/5/99;
60/123618 Filed 3/10/99; 60/123732 Filed 3/10/99; 60/123733 Filed 3/10/99;
60/123935 Filed 3/12/99; 60/123957 Filed 3/12/99; 60/123973 Filed 3/11/99;
60/123974 Filed 3/11/99; 60/123978 Filed 3/11/99; 60/123979 Filed 3/11/99;
60/123980 Filed 3/11/99; 60/123981 Filed 3/11/99; 60/124103 Filed 3/12/99;
60/124133 Filed 3/12/99; 60/124527 Filed 3/15/99; 60/124583 Filed 3/16/99;
60/125585 Filed 3/18/99; 60/125587 Filed 3/18/99; 60/125597 Filed 3/18/99;
60/125599 Filed 3/18/99; 60/125259 Filed 3/19/99; 60/125261 Filed 3/19/99;
60/125264 Filed 3/19/99; 60/125293 Filed 3/19/99; 60/125301 Filed 3/19/99;
60/125739 Filed 3/23/99; 60/125755 Filed 3/23/99; 60/125826 Filed 3/24/99;
60/126773 Filed 3/29/99; 60/127361 Filed 4/1/99; 60/127413 Filed 4/1/99;
60/127782 Filed 4/5/99; 60/127783 Filed 4/5/99; 60/127854 Filed 4/5/99; 60/127887
Filed 4/5/99; 60/128135 Filed 4/7/99; 60/128166 Filed 4/6/99; 60/128167 Filed
4/6/99; 60/128168 Filed 4/6/99; 60/128169 Filed 4/6/99; 60/130211 Filed 4/20/99;
60/130232 Filed 4/21/99; 60/130236 Filed 4/20/99; 60/130237 Filed 4/20/99;
60/131022 Filed 4/26/99; 60/131172 Filed 4/27/99; 60/131269 Filed 4/27/99;
60/131292 Filed 4/27/99; 60/131293 Filed 4/27/99; 60/131294 Filed 4/27/99;
60/131445 Filed 4/28/99; 60/132370 Filed 5/4/99; 60/132707 Filed 5/5/99;
60/132708 Filed 5/5/99; 60/133460 Filed 5/11/99; 60/133545 Filed 5/11/99;
60/133644 Filed 5/11/99; 60/134287 Filed 5/14/99; 60/135734 Filed 5/25/99;
60/135735 Filed 5/25/99; 60/135736 Filed 5/25/99; 60/135748 Filed 5/25/99;
60/135749 Filed 5/25/99; 60/135753 Filed 5/25/99; 60/135754 Filed 5/25/99;
60/135756 Filed 5/25/99; 60/138145 Filed 6/8/99; 60/138166 Filed 6/8/99;
60/138386 Filed 6/9/99; 60/139502 Filed 6/15/99; 60/139503 Filed 6/15/99;
60/139504 Filed 6/15/99; 60/139505 Filed 6/15/99; 60/139533 Filed 6/15/99;
60/140652 Filed 6/22/99; 60/140654 Filed 6/22/99; 60/140655 Filed 6/22/99;
60/140722 Filed 6/22/99; 60/141037 Filed 6/23/99; 60/143048 Filed 7/7/99;
60/144706 Filed 7/20/99; 60/144713 Filed 7/20/99; 60/144758 Filed 7/20/99;
60/144788 Filed 7/20/99; 60/144791 Filed 7/20/99; 60/144850 Filed 7/20/99;
60/145226 Filed 7/20/99; 60/145227 Filed 7/20/99; 60/145698 Filed 7/26/99;
60/145781 Filed 7/27/99; 60/145895 Filed 7/27/99; 60/145903 Filed 7/27/99;
60/145904 Filed 7/27/99; 60/145905 Filed 7/27/99; 60/146042 Filed 7/27/99;
60/146222 Filed 7/28/99; 60/146834 Filed 8/3/99; 60/146836 Filed 8/3/99;
60/146844 Filed 8/3/99; 60/146850 Filed 8/3/99; 60/146914 Filed 8/3/99; 60/146915

Filed 8/3/99; 60/146919 Filed 8/3/99; 60/146951 Filed 8/3/99; 60/146962 Filed 8/3/99; 60/146963 Filed 8/3/99; 60/146969 Filed 8/3/99; 60/146989 Filed 8/3/99; 60/148109 Filed 8/10/99; 60/148186 Filed 8/10/99; 60/148187 Filed 8/10/99; 60/148192 Filed 8/10/99; 60/149412 Filed 8/17/99; 60/151616 Filed 8/31/99; 60/151735 Filed 8/31/99; 60/151798 Filed 8/31/99; 60/151799 Filed 8/31/99; 60/158663 Filed 10/8/99; 60/160406 Filed 10/19/99; 60/162506 Filed 10/29/99; 60/166365 Filed 11/16/99; 60/213637 Filed 6/23/00; 60/230978 Filed 9/7/00; 08/878168 Filed 6/18/97; 08/918874 Filed 8/26/97, now ABD; 08/933821 Filed 9/19/97, now U.S. 5,972,338 issued 10/26/99; 08/934494 Filed 9/19/97, now U.S. 6,030,831 issued 2/29/00; 08/960507 Filed 10/29/97, now U.S. 6,057,435 issued 5/2/00; 09/040220 Filed 3/17/98; 09/096500 Filed 6/12/98; 09/105413 Filed 6/26/98; 09/114844 Filed 7/14/98; 09/136801 Filed 8/19/98; 09/136804 Filed 8/19/98, now ABD; 09/136828 Filed 8/19/98; 09/143068 Filed 8/28/98, now U.S. 6,074,873 issued 6/13/00; 09/143158 Filed 8/28/98, now ABD; 09/143707 Filed 8/28/98; 09/168978 Filed 10/7/98; 09/180997 Filed 11/19/98, now ABD; 09/182145 Filed 10/29/98; 09/182562 Filed 10/29/98; 09/184216 Filed 11/2/98, now ABD; 09/202054 Filed 12/7/98; 09/202088 Filed 12/8/98; 09/202089 Filed 12/8/98; 09/216021 Filed 12/16/98, now ABD; 09/218517 Filed 12/22/98, now ABD; 09/214186 Filed 12/29/98, now ABD; 09/254311 Filed 3/3/99, now ABD; 09/254460 Filed 3/9/99, now ABD; 09/254465 Filed 3/5/99; 09/265686 Filed 3/10/99; 09/267213 Filed 3/12/99, now ABD; 09/284291 Filed 4/12/99, now ABD; 09/311832 Filed 5/14/99; 09/332928 Filed 6/14/99; 09/332929 Filed 6/14/99; 09/333075 Filed 6/14/99; 09/333077 Filed 6/14/99; 09/380137 Filed 8/25/99, now ABD; 09/380138 Filed 8/25/99, now ABD; 09/380139 Filed 8/25/99; 09/380142 Filed 8/25/99, now ABD; 09/380913 Filed 9/9/99; 09/664610 Filed 9/18/99, now ABD; 09/403296 Filed 10/18/99, now ABD; 09/403297 Filed 10/18/99, now ABD; 09/423741 Filed 11/10/99, now ABD; 09/423844 Filed 11/12/99, now ABD; 09/511133 Filed 2/23/00; 09/511631 Filed 2/23/00; 09/548815 Filed 4/13/00; 09/565278 Filed 4/27/00, now ABD; 09/581742 Filed 3/2/00; 09/644848 Filed 8/22/00; 09/665350 Filed 9/18/00; 09/690169 Filed 10/16/00; 09/690189 Filed 10/16/00; 09/709238 Filed 11/8/00; 09/723749 Filed 11/27/00; 09/747259 Filed 12/20/00; 09/796498 Filed 2/28/01; 09/802706 Filed 3/9/01; 09/808689 Filed 3/14/01, now ABD; 09/816744 Filed 3/22/01; 09/828366 Filed 4/5/01; 09/854208 Filed 5/10/01; 09/854280 Filed 5/10/01; 09/860216 Filed 5/18/01, now ABD; 09/866028 Filed 5/25/01; 09/866034 Filed 5/25/01; 09/872035 Filed 6/1/01; 09/874503 Filed 6/5/01; 09/882636 Filed 6/14/01, now ABD; 09/886242 Filed 6/20/01; 09/886342 Filed 6/19/01; 09/887879 Filed 6/21/01; 09/908827 Filed 7/18/01; 09/918585 Filed 7/30/01; 09/924419 Filed 8/6/01; 09/927796 Filed 8/9/01; 09/929404 Filed 8/13/01; 09/931836 Filed 8/16/01; PCT/US98/12456 Filed 6/12/98; PCT/US98/14552 Filed 7/14/98; PCT/US98/17888 Filed 8/28/98; PCT/US98/18824 Filed 9/10/98, now ABD; PCT/US98/19093 Filed 9/14/98; PCT/US98/19094 Filed 9/14/98; PCT/US98/19177 Filed 9/14/98, now ABD; PCT/US98/19330 Filed 9/16/98; PCT/US98/19437 Filed 9/17/98, now ABD; PCT/US98/21141 Filed 10/7/98;

PCT/US98/19437 Filed 9/17/98, now ABD; PCT/US98/21141 Filed 10/7/98;

PCT/US98/22991 Filed 10/29/98; PCT/US98/22992 Filed 10/29/98; PCT/US98/24855 Filed 11/20/98; PCT/US98/25108 Filed 12/1/98; PCT/US99/05028 Filed 3/8/99; PCT/US99/05190 Filed 3/10/99; PCT/US99/08615 Filed 4/20/99; PCT/US99/10733 Filed 5/14/99; PCT/US99/12252 Filed 6/2/99; PCT/US99/20111 Filed 9/1/99; PCT/US99/20594 Filed 9/8/99; PCT/US99/20944 Filed 9/13/99; PCT/US99/21090 Filed 9/15/99; PCT/US99/21547 Filed 9/15/99; PCT/US99/23089 Filed 10/5/99; PCT/US99/28214 Filed 11/29/99; PCT/US99/28301 Filed 12/1/99; PCT/US99/28313 Filed 11/30/99; PCT/US99/28409 Filed 11/30/99; PCT/US99/28551 Filed 12/2/99; PCT/US99/28564 Filed 12/2/99, now ABD; PCT/US99/28565 Filed 12/2/99; PCT/US99/28634 Filed 12/1/99; PCT/US99/30095 Filed 12/16/99; PCT/US99/30911 Filed 12/20/99, now ABD; PCT/US99/30999 Filed 12/20/99; PCT/US99/31243 Filed 12/30/99, now ABD; PCT/US99/31274 Filed 12/30/99; PCT/US99/00106 Filed 1/5/99, now ABD; PCT/US00/00219 Filed 1/5/00, now ABD; PCT/US00/00277 Filed 1/6/00, now ABD; PCT/US00/00376 Filed 1/6/00; PCT/US00/03565 Filed 2/11/00; PCT/US00/04341 Filed 2/18/00; PCT/US00/04342 Filed 2/18/00; PCT/US00/04414 Filed 2/22/00; PCT/US00/04914 Filed 2/24/00, now ABD; PCT/US00/05004 Filed 2/24/00; PCT/US00/05601 Filed 3/1/00; PCT/US00/05746 Filed 3/2/00; PCT/US00/05841 Filed 3/2/00; PCT/US00/06319 Filed 3/10/99, now ABD; PCT/US00/06884 Filed 3/15/00; PCT/US00/08439 Filed 3/30/00; PCT/US00/07377 Filed 3/20/00; PCT/US00/07532 Filed 3/21/00; PCT/US00/13705 Filed 5/17/00; PCT/US00/14042 Filed 5/22/00; PCT/US00/14941 Filed 5/30/00; PCT/US00/15264 Filed 6/2/00; PCT/US00/20710 Filed 7/28/00; PCT/US00/22031 Filed 8/11/00; PCT/US00/23328 Filed 8/24/00; PCT/US00/23522 Filed 8/23/00; PCT/US00/30873 Filed 11/10/00; PCT/US00/30952 Filed 11/8/00; PCT/US00/32678 Filed 12/1/00; PCT/US00/34956 Filed 12/20/00; PCT/US01/06520 Filed 2/28/01; PCT/US01/06666 Filed 3/1/01; PCT/US01/17092 Filed 5/25/01, now ABD; PCT/US01/17800 Filed 6/1/01; PCT/US01/19692 Filed 6/20/01; PCT/US01/20116 Filed 6/22/01; PCT/US01/21066 Filed 6/29/01; PCT/US01/21735 Filed 7/9/01, the entire disclosures of which are hereby incorporated by reference.

2. **Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b)
(Non-provisional)**

135 pages of specification
28 pages of claims
1 page(s) of abstract
550 sheet(s) of drawings
☒ formal ☐ informal

3. Declaration or Oath

(for new and CIP applications; also for Cont./Div. where inventor(s) are being added)
 X An executed declaration of the inventor(s) [X] is enclosed [] will follow.

(for Cont./Div. where inventorship is the same or inventor(s) being deleted)
 A copy of the executed declaration/oath filed in the prior application is enclosed
(37 CFR 1.63(d)).

(for Cont./Div. where inventor(s) being deleted)
 A signed statement is attached deleting inventor(s) named in the prior
application (see 37 CFR 1.63(d)(2) and 1.33(b)).

4. Assignment

(for new and CIP applications)
 X An Assignment of the invention to GENENTECH, INC. [X] is enclosed with
attached Recordation Form Cover Sheet [] will follow.

(for cont./div.)
 The prior application is assigned of record to Genentech, Inc.

5. Amendments (for continuation and divisional applications)

 Cancel in this application original claims __ of the prior application before calculating the filing
fee. (At least one original independent claim must be retained for filing purposes.)

 X A preliminary amendment is enclosed. (Claims added by this amendment have been
properly numbered consecutively beginning with the number next following the highest
numbered original claim in the prior application.)

The fee has been calculated as follows:

7. Method of Payment of Fees
The Commissioner is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$4,138.00. **A duplicate copy of this transmittal is enclosed.**

The Commissioner is hereby authorized to charge any additional fees required under 37 CFR §1.16 and 1.17, or credit overpayment to Deposit Account No. 07-0630. **A duplicate copy of this sheet is enclosed.**

☐ Information Disclosure Statement (37 CFR §1.98) w/ PTO-1449 and citations

☒ Submission of "Sequence Listing", computer readable copy, certificate re: sequence listing, and/or amendment pertaining thereto for biological invention containing nucleotide and/or amino acid sequence.

☐ A new Power of Attorney or authorization of agent.

☒ Other: Post card.

*[This item **must** be completed and the necessary papers filed in the prior application if the period set in the prior application has run]*

_____ A petition, fee and/or response has been filed to extend the term in the pending prior application until _____

_____ A copy of the petition for extension of time in the **prior** application is attached.

11. Correspondence Address:

X Address all future communications to:

Attn: Ginger R. Dreger
Registration No. 33,055, Customer No. 30,313
Knobbe Martens Olson & Bear, LLP
201 California Street, Suite 1150
San Francisco, California 94111-3335

Respectfully submitted,
GENENTECH, INC.

Date: December 19, 2001

By:

Elizabeth M. Barnes, Ph.D.

Reg. No. 35,059

Telephone No. (650) 225-4563



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PATENT TRADEMARK OFFICE

[illegible]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Kevin P. Baker, et al. Serial No.: Unknown, filed herewith Filed: December 19, 2001 For: <i>SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME</i>	Group Art Unit: Unknown Examiner: Unknown Express Mail No. EL 895 375 498 US Mailed: December 19, 2001
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CERTIFICATE RE: SEQUENCE LISTING

RESPONSE UNDER 37 CFR § 1.821(f) and (g)

Box: Patent Application
Assistant Commissioner of Patents
Washington, D.C. 20231

Sir:

I hereby state that the Sequence Listing submitted herewith is submitted in paper copy and a computer-readable diskette, and that the information recorded in computer readable form is identical to the written sequence listing. I further state that this submission includes no new matter.

Respectfully submitted,

GENENTECH, INC.

By: *Elizabeth M. Barnes*
Elizabeth M. Barnes, Ph.D.
Reg. No. 35,059
Telephone No. (650) 225-4563

Date: December 18, 2001



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PATENT TRADEMARK OFFICE